

Figure 1-1 Transmittal Guide
Date: 19NOV13

DATE: _____ CONTRACT: _____

Instructions are for reference in preparing transmittals (Eng Form 4025) per specification section 01 33 00, SUBMITTAL PROCEDURES.

- (1) Form 4025's shall be electronically generated from QCS. These forms shall be filled in completely prior to submittal.
- (2) Each transmittal shall contain only one specification section (i.e. 23 00 00 & 23 09 23 would require two transmittals).
- (3) Each transmittal shall contain only one type of classification (i.e. GA and FIO items would require two transmittals).
- (4) Copies*. Submit 4025s and data as follows:

FIO, DA = Submit (3) 4025s and (2) sets of enclosures/data†

GA, CR, DA/GA, DA/CR = Submit (4) 4025s and (3) sets of enclosures/data

Special Cases:

- a. If enclosure is a sample, then only (1) sample and leave the sample on site.
- b. **If transmittal is telecommunications related (generally 27 10 00 or 33 82 00), then submit (5) 4025's and (4) sets of enclosures/technical data.**
- c. If transmittal is environmental related, or "lives" after project is complete, then submit (5) 4025's and (4) sets of enclosures/technical data. These transmittals will be defined at the submittal coordination meeting and include SWPP, Asbestos Plan, Demolition Plan, Waste Management Plan, and Warranty Management Plan.
- d. If transmittal is a design submission, then number of copies and distribution will be determined at the submittal coordination meeting. In all circumstances, submit at least (1) complete hard copy plus (1) more 4025 than the number of sets of enclosures/technical data. Deliver copies to separate offices in the distribution determined at the coordination meeting.

* Extra copies will be disposed of/not returned.

† For FIO, DA submittals, copies of 4025s and enclosures/data may be less at the request of the Project Engineer (a minimum of (2) 4025s and (1) set of data/enclosure are required).



(5) Deliver as follows, unless it is a design submission or directed otherwise by the government Project Engineer:

FIO, DA	→ Project Office (on-site)
GA, CR, DA/GA, DA/CR	→ Area Office (Building 2015)

Resubmittals are sent to original rejecting office.

(6) The contractor will receive one 4025 returned (without enclosures/technical data), on the date the transmittal was out-processed by the Government.

(7) Re-submittals must be related to the parent transmittal (i.e., 2→2.1, 2.2 etc.).

(8) All re-submittals of FIO's become GA if design-bid-build, and DA/CR for design-build.

(9) Unique *item numbers must be listed on 4025 in column "a."

*Assign an item number to each contract item requiring separate approval. Understand a single action code will be given to the item, regardless of the number of products or data it consists of. If a single product or data in the item is disapproved, the entire item is disapproved.

(10) Each item in the enclosure/technical data must have an item number on the front of the first document that defines the item.

(11) All submitted items must have a "contractor's approval stamp". All DA submitted items must also have a "designer of record approval stamp". Stamp(s) must be signed and items clearly identified.

(12) Enter the technical paragraph in the specs under column "e." for each item.

(13) Identify the drawing numbers that apply, if applicable, in column "f."

(14) *Variations must be identified in column "h." and justified in the "Remarks" block. The government Project Engineer must acknowledge proposed variations prior to submission by signing and dating the 4025. For design-bid-build, ALL variations must be submitted GA. For design-build, variations must be submitted DA/CR (in-scope of contract) and DA/GA (change to contract).

*A variation is any change from the invitation for bids plans/specs or accepted proposal/design.

(15) Contractor approval code must go in Column "g."

(16) Sign the Form 4025 (all copies).

(17) Collate item enclosures/technical data into complete review sets. Stack 4025's on top. See detail, "Transmittal Package". If review sets are not complete, explain in "Remarks" block where to find item enclosures/technical data, e.g. sample on site or enclosures/technical data provided with transmittal (specify number).



(18) Enter Form 4025 data into Quality Control System prior to submission. Transmittals will not be receipt acknowledged until 4025 data is exported from Quality Control System.

(19) Allow 30 days (design-bid-build) and 15 days (design-build) for transmittals to be reviewed by the Government. **Justify exceptions to the government Project Engineer.**

(20) All paper copies of enclosures/technical data shall be high quality with clear, sharp images and easy to read text.

(21) Identify specifically the technical data on attached catalog cuts (i.e. highlight or point out).

(22) Drawings submitted to Tech Section for design submissions should be ½-size (11x17 inch). If the design submission is “Issued for Construction”, then (1) of the required sets should be full size.

(23) Arrange each transmittal package as shown below.

